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**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**Declaration  
Submitted  
With Initial  
Filing

OR

Declaration  
Submitted after Initial  
Filing (surcharge  
(37 CFR 1.16 (e))  
required)

Attorney Docket Number 1163UB000S00

First Named Inventor Alexander Lipton

**COMPLETE IF KNOWN**

Application Number Unknown

Filing Date Herewith

Art Unit Unknown

Examiner Name Unknown

**I hereby declare that:**

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

SYSTEMS AND METHODS FOR MODELING SECURITY RISKS OF PUBLICLY TRADED COMPANIES

(Title of the Invention)

the specification of which



is attached hereto

OR



was filed on (MM/DD/YYYY)

as United States Application Number or PCT International

Application Number

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				Yes	No
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

[Page 1 of 2]

This collection of information is required by 37 CFR 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**DECLARATION — Utility or Design Patent Application**

Direct all correspondence to: <input type="checkbox"/> Customer Number or Bar Code Label		OR <input checked="" type="checkbox"/> Correspondence address below	
Name Axion Legal Solutions c/o PortfolioIP			
Address P.O. Box 52050			
City Minneapolis		State MN	ZIP 55402
Country US	Telephone 203-438-1077	Fax 866-422-4530	
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.			
NAME OF SOLE OR FIRST INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name Alexander (first and middle (if any))		Family Name Lipton or Surname	
Inventor's Signature <i>Alexander Lipton</i>		Date 07/24/2003	
Residence: City New York	State NY	Country US	Citizenship US
Mailing Address 120 East 87th Street, Apt. R16A			
City New York	State NY	ZIP 10128	Country US
NAME OF SECOND INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name Jonathan Z. (first and middle (if any))		Family Name Song or Surname	
Inventor's Signature <i>[Signature]</i>		Date 07/24/03	
Residence: City New York	State NY	Country US	Citizenship CA
Mailing Address 172 East 4th Street, Apt. 7B			
City New York	State NY	ZIP 10009	Country US
<input checked="" type="checkbox"/> Additional inventors or a legal representative are being named on the 1 supplemental sheet(s) PTO/SB/02A or 02LR attached hereto.			

**DECLARATION****ADDITIONAL INVENTOR(S)**  
Supplemental SheetPage 1 of 1

<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Shinghol		Lee	
Inventor's Signature <i>[Signature]</i>		Date <i>07/24/2003</i>	
Residence: City West Windsor	State NJ	Country US	Citizenship NZ
Mailing Address 8 Meridian Court			
Mailing Address			
City West Windsor	State NJ	Zip 08550	Country US
<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Mailing Address			
Mailing Address			
City	State	Zip	Country
<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Mailing Address			
Mailing Address			
City	State	Zip	Country

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.83. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**POWER OF ATTORNEY OR  
AUTHORIZATION OF AGENT**

Application Number	Unknown
Filing Date	Herewith
First Named Inventor	Alexander Lipton
Title	SYSTEMS AND METHODS FOR MODELING SECURITY RISKS OF PUBLICLY TRADED COMPANIES
Art Unit	Unknown
Examiner Name	Unknown
Attorney Docket Number	1183UB00US00

I hereby appoint:

☐ Practitioners at Customer Number

OR

☒ Practitioner(s) named below:

Name	Registration Number
Brandt, Jeffrey L.	31,490

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.

OR

☐ Practitioners at Customer Number.

OR

<input checked="" type="checkbox"/> Firm or Individual Name	Axiom Legal Solutions c/o PortfolioIP				
Address	P.O. Box 52050				
Address					
City	Minneapolis	State	MN	Zip	55402
Country	United States of America				
Telephone	203-438-1077	Fax	866-422-4530		

I am the:

☒ Applicant/Inventor.☐ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/98).**SIGNATURE of Applicant or Assignee of Record**

Name	Alexander Lipton		
Signature	<i>Alexander Lipton</i>		
Date	6/24/2003	Telephone	(212) 538-8868

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☒ Total of 3 forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9189 and select option 2.

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**POWER OF ATTORNEY OR  
AUTHORIZATION OF AGENT**

Application Number	Unknown
Filing Date	Herewith
First Named Inventor	Alexander Upton
Title	SYSTEMS AND METHODS FOR MODELING SECURITY RISKS OF PUBLICLY TRADED COMPANIES
Art Unit	Unknown
Examiner Name	Unknown
Attorney Docket Number	1183UB00US00

I hereby appoint:

☐ Practitioners at Customer NumberPlace Customer  
Number Bar Code  
Label here

OR

☒ Practitioner(s) named below:

Name	Registration Number
Brandt, Jeffrey L.	31,490

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☐ The above-mentioned Customer Number.

OR

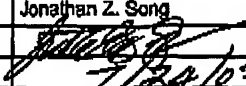
☐ Practitioners at Customer Number.Place Customer  
Number Bar Code  
Label here

OR

<input checked="" type="checkbox"/> Firm or Individual Name	Axdom Legal Solutions c/o PortfolioIP				
Address	P.O. Box 62050				
Address					
City	Minneapolis	State	MN	Zip	55402
Country	United States of America				
Telephone	203-438-1077	Fax	866-422-4530		

I am the:

☒ Applicant/Inventor.☐ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/98).**SIGNATURE of Applicant or Assignee of Record**

Name	Jonathan Z. Song				
Signature					
Date	7/24/03			Telephone	212-325-1768

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☒ \*Total of 3 forms are submitted.

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First Named Inventor	Alexander Lipton
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Art Unit	Unknown
Examiner Name	Unknown
Attorney Docket Number	1183UB00US00

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☐ Practitioners at Customer Number

OR

☒ Practitioner(s) named below:

Name	Registration Number
Brandt, Jeffrey L.	31,490

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☐ The above-mentioned Customer Number.

OR

☐ Practitioners at Customer Number.

OR

☒ Firm or Individual Name Axiom Legal Solutions c/o PortfolioP

Address P.O. Box 52050

Address

City Minneapolis

State MN

Zip

55402

Country United States of America

Telephone 203-438-1077

Fax

866-422-4530

I am the:

☒ Applicant/Inventor.☐ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Name Shinghol Lee

Signature *Shinghol Lee*

Date 7/24/2003

Telephone (212) 325-4335

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☒ Total of 3 forms are submitted.

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If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

AND, furthermore, we covenant and agree with said Assignee, its successors and assigns, that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by us and that full right to convey the same as herein expressed is possessed by us.

IN TESTIMONY WHEREOF, I have hereunto set my hand this 24 day of July, 2003.

Alexander Lipton

Alexander Lipton

STATE OF New York,  
COUNTY OF New York )ss

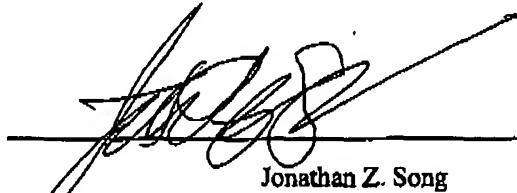
On this 24 day of July, 2003 before me personally appeared Alexander Lipton to me known and known to me to be the person described in and who executed the foregoing instrument, and he/she duly acknowledged to me that he/she executed the same for the uses and purposes therein set forth.

[SEAL]

Juliebeth Albano LaSalla  
Notary Public

Juliebeth Albano LaSalla  
Notary Public, State of New York  
No. 01A15084387  
Qualified in Nassau County  
Commission Expires Sept. 02, 2005

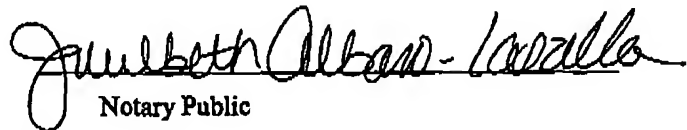
IN TESTIMONY WHEREOF, I have hereunto set my hand this 24 day of July, 2003.

  
Jonathan Z. Song

STATE OF New York,  
COUNTY OF New York, ss

On this 24 day of July, 2003 before me personally appeared Jonathan Z. Song, to me known and known to me to be the person described in and who executed the foregoing instrument, and he/she duly acknowledged to me that he/she executed the same for the uses and purposes therein set forth.

[SEAL]

  
Notary Public

Juliebeth Albano LaSalla  
Notary Public, State of New York  
No. 01AL5084397  
Qualified in Nassau County  
Commission Expires Sept. 02, 2005



IN TESTIMONY WHEREOF, I have hereunto set my hand this 24<sup>th</sup> day of

July, 2003.

Shinghoi Lee

STATE OF New York )ss

COUNTY OF New York

On this 24 day of July, 2003 before me personally appeared Shinghoi Lee, to me known and known to me to be the person described in and who executed the foregoing instrument, and he/she duly acknowledged to me that he/she executed the same for the uses and purposes therein set forth.

[SEAL]

Juliebeth Albano LaSalla  
Notary Public

**Juliebeth Albano LaSalla**  
Notary Public, State of New York  
No. 01AL5084387  
Qualified in Nassau County  
Commission Expires Sept. 02, 2005